

FORM PTO-1390 (Modified)  
(REV 11-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

## TRANSMITTAL LETTER TO THE UNITED STATES

T0158

DESIGNATED/ELECTED OFFICE (DO/EO/US)

U.S. APPLICATION NO. (OF KODEN SET 37 (IF 1.5))

CONCERNING A FILING UNDER 35 U.S.C. 371

PCT/PTO 22 SEP 2000

INTERNATIONAL APPLICATION NO.

PCT/JP00/00754

INTERNATIONAL FILING DATE

10 February 2000 (10.02.00)

PRIORITY DATE CLAIMED

10 February 1999 (10.02.99)

TITLE OF INVENTION

APPARATUS AND METHOD FOR JOINT MECHANISM, JOINT APPARATUS, AND ROBOT DEVICE AND CONTROL METHOD THEREOF

APPLICANT(S) FOR DO/EO/US

ISHIDA, Tatsuzo; HATTORI, Yuichi; and KUROKI, Yoshihiro

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ A copy of the International Search Report (PCT/ISA/210). (In English and Japanese)
8. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)). (unsigned)
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

## Items 13 to 20 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98. with Form PTO 1449 and cited prior art.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☒ Certificate of Mailing by Express Mail
20. ☒ Other items or information:

- a.) Twenty-two (22) sheets of formal drawings including one page explanation of reference numerals;
- b.) Forms PCT/IB/301, 304 and 308;
- c.) PCT Request as filed;
- d.) Copy of Front Page of Certified Copy of Japanese priority documents No. P11-033385 filed February 10, 1999 and No. P11-254880 filed September 8, 1999.
- e.) Forms PCT/RO/105 and PCT/RO/106;
- f.) Form PCT/ISA/202; and
- g.) International application as published on August 17, 2000 as WO00/47372.

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.5) <b>09/64684</b>	INTERNATIONAL APPLICATION NO. <b>PCT/JP00/00754</b>	ATTORNEY'S DOCKET NUMBER <b>TNAB-T0158</b>
--	--	---

21. The following fees are submitted:				<b>CALCULATIONS PTO USE ONLY</b>	
<b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :</b>					
<input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO .....				\$970.00	
<input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO .....				\$840.00	
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO .....				\$690.00	
<input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) .....				\$670.00	
<input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) .....				\$96.00	
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				<b>\$840.00</b>	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).				<b>\$0.00</b>	
<b>CLAIMS</b>	<b>NUMBER FILED</b>	<b>NUMBER EXTRA</b>	<b>RATE</b>		
Total claims	17 - 20 =	0	x \$18.00	<b>\$0.00</b>	
Independent claims	8 - 3 =	5	x \$78.00	<b>\$390.00</b>	
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>				<b>\$0.00</b>	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$1,230.00</b>	
Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable) <input type="checkbox"/>				<b>\$0.00</b>	
<b>SUBTOTAL =</b>				<b>\$1,230.00</b>	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).				<b>\$0.00</b>	
<b>TOTAL NATIONAL FEE =</b>				<b>\$1,230.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable) <input type="checkbox"/>				<b>\$0.00</b>	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$1,230.00</b>	
				<b>Amount to be: refunded</b>	<b>\$</b>
				<b>charged</b>	<b>\$</b>

- ☒ A check in the amount of **\$1,230.00** to cover the above fees is enclosed.
- ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. **12-1420** A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

Charles P. Sammut, Esq.  
Limbach & Limbach L.L.P.  
2001 Ferry Building  
San Francisco, CA 94111  
(415) 433-4150

SIGNATURE

Mayumi Maeda

NAME

40,075

REGISTRATION NUMBER

September 22, 2000

DATE

09/646849  
534 Rec'd PCT/PTC 22 SEP 2000  
PATENT

PATENT COOPERATION TREATY

UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

In re Nat'l Phase Application of:	)	
TATSUZO ISHIDA ET AL.	)	
Based Upon International	)	CERTIFICATION
Application No. PCT/JP00/00754	)	UNDER
Int'l Filing Date: 10 Feb. 2000	)	<u>37 CFR §1.10</u>
Serial No. Not Assigned	)	
Filed: Herewith	)	
For: APPARATUS AND METHOD FOR	)	
JOINT MECHANISM,	)	
JOINT APPARATUS, AND ROBOT	)	
DEVICE AND CONTROL METHOD	)	
<u>THEREOF</u>	)	

Assistant Commissioner for Patents  
Box PCT  
Washington, D.C. 20231

Dear Sir:

I hereby certify that this Application for entering the national phase of the above-identified International Application and the documents referred to as enclosed herein are being deposited with the United States Postal Service on this date, **September 22, 2000**, in an envelope bearing "Express Mail Post Office to Addressee" Mailing Label Number **EL254113434US** addressed to: Assistant Commissioner for Patents, Box PCT, Washington, D.C. 20231, Attention U.S. Designated/Elected Office (DO/EO/US).

Enclosed are:

1. Transmittal Letter to the U.S. Designated/Elected Office (DO/EO/US) Concerning A Filing Under 35 U.S.C. 371, in duplicate;
2. ~~English translation of International Application No. PCT/JP00/00754 as filed February 10, 2000, including Specification, Claims, Abstract and Drawings;~~

09/646849

534 Rec'd PCT/PTC 22 SEP 2000

-2-

PATENT

3. Combined Declaration/Power of Attorney/Claim of Priority (unsigned);
4. Preliminary Amendment;
5. Twenty-two (22) Sheets of Formal Drawings comprising Figures 1-23 and including one page Explanation of Reference numerals;
6. Copy of Japanese/English PCT Request as filed on February 10, 2000;
7. Copies of Forms PCT/IB/301, 304, and 308;
8. Copy of PCT Publication No. WO00/47372 published August 17, 2000 (in Japanese) with attached International Search Report in English and Japanese;
9. Form PCT RO 105 - Notification of International Application Number and Filing Date (in Japanese);
10. Form PCT RO 106 - Invitation to Correct Defects in the International Application;
11. Form PCT/ISA/202 - Notification of Receipt of Search Copy (in Japanese);
12. Form PCT/ISA/210 - Copy of International Search Report in Japanese;
13. Form PCT/ISA/220 - Notification of Transmittal of the International Search Report or the Declaration (in Japanese);
14. Copy of front page of Japanese priority document No. P11-254880 filed September 8, 1999;
15. Copy of front page of Japanese priority document No. P11-033385 filed February 10, 1999;

09/646849

534 Rec'd U.S. PAT. 22 SEP 2000

- 3 -

PATENT

16. Information Disclosure Statement with Form 1449, Copy of International Search Report (in English) and Cited Prior Art references;
17. Check in the amount of \$1,230.00;
18. Acknowledgement Postcard.

Dated: September 22, 2000

*Elizabeth A. Reicker*  
ELIZABETH A. REICKER

LIMBACH & LIMBACH L.L.P.  
2001 Ferry Building  
San Francisco, California 94111  
Telephone: (415) 433-4150

Attorney Docket No. TNAB-T0158

PTO/PCT Rec'd 17 OCT 2000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of ) Group Art Unit: Unknown  
)  
TATSUZO ISHIDA ET AL. ) Examiner: Not Assigned  
)  
Appln. No. 09/646,849 ) SUBMISSION OF COMBINED DECLARATION  
) AND POWER OF ATTORNEY  
Int'l. Appln. No. PCT/JP00/00754 )  
) 2001 Ferry Building  
Int'l. Filing Date: February 10, 2000 ) San Francisco, CA 94111  
) 415/433-4150  
Priority Date: February 10, 1999 )  
)  
For: APPARATUS AND METHOD FOR )  
JOINT MECHANISM, JOINT )  
APPARATUS, AND ROBOT DEVICE )  
AND CONTROL METHOD THEREOF )

Commissioner for Patents  
Box PCT  
Attention: U.S. Designated/Elected Office  
(DO/EO/US)  
Washington, D.C. 20231

Sir:

Enclosed for filing in the above-identified application is an executed Combined Declaration and Power of Attorney for Patent Application. A check in the amount of \$130.00 is enclosed herewith to cover the \$130.00 surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date.

No NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) has been received as of October 17, 2000. In the event the NOTIFICATION OF MISSING REQUIREMENTS has crossed with this submission in the mail, the Commissioner is hereby authorized to charge any extension fees, additional fees, or credit any overpayment, to Deposit Account No. 12-1420. A duplicate copy of this transmittal is enclosed.

Respectfully submitted,

LIMBACH & LIMBACH L.L.P.

October 17, 2000  
(Date)

By:

  
Mayumi Maeda  
Registration No. 40,075

TNAB-T0158  
(SOOP0158US00)  
S698US

Attorneys for Applicant(s)

EXPRESS MAIL CERTIFICATE

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service, Express Mail Mailing Label Number: EL387334904US, under 37 CFR 1.10 on October 17, 2000 and is addressed to: Commissioner for Patents, Washington, D.C. 20231.

LIMBACH & LIMBACH L.L.P. Date: October 17, 2000

By:   
Name: Elizabeth Reicker